



- 1 -

Docket: 0756-1921

Sector 3

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as First Class Mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on 3-2-99

Rose M. Fichtel

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re PATENT Application of:)
Hisashi OHTANI et al.) Box MISSING PARTS
Serial No. 09/226,216)
Filed: January 7, 1999)
For: SEMICONDUCTOR DEVICE)
AND METHOD OF)
MANUFACTURING THE)
SAME)

RESPONSE TO NOTICE TO FILE MISSING PARTS
OF APPLICATION - FILING DATE GRANTED

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

In response to the Notice to File Missing Parts of Application - Filing Date Granted dated February 1, 1999, submitted herewith are the following documents for filing in the above-referenced application:

1. Declaration & Power of Attorney
2. Copy of Notice to File Missing Parts of Application - Filing Date Granted
3. Assignment and Assignment Cover Sheet
4. Information Disclosure Statement with Form PTO-1449
5. Request for Corrected Official Filing Receipt

6. A. Statutory Basic Filing Fee and Surcharge, calculated as follows:


	Claims Remaining After Amendment		Highest Number Previously Paid For	Present Extra	Small/Large Entity Rate	Fee
Total	23	Minus	20	3	x \$9/\$18	\$54.00
Indep.	4	Minus	3	1	x \$39/\$78	\$78.00
First Presentation of Multiple Dependent Claim					+ \$130/\$260	\$260.00
Filing Fee						\$760.00
Surcharge						\$130.00
Assignment						\$40.00
TOTAL						\$1322.00

7. A check in the amount of \$1,322.00 is attached to cover the basic filing fee and surcharge.

All formal requirements now having been met, it is requested that the Official Filing Receipt be issued.

The Commissioner is hereby authorized to charge fees under 37 CFR 1.16 and 1.17 (except the Issue Fee) which may be required now or hereafter, or credit any overpayment, to Deposit Account No. 19-2380. A duplicate of this sheet is attached.

Respectfully submitted,



Eric J. Robinson
Reg. No. 38,285

Sixbey, Friedman, Leedom & Ferguson, P.C.
8180 Greensboro Drive, Suite 800
McLean, Virginia 22102
(703) 790-9110



UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
Address: COMMISSIONER OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO./TITLE
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09/226,216 01/07/99 ANTANI

H 0756-1921

MAR 04 1999

0242/0201

GERALD J FERGUSON JR.
SIXBEY FRIEDMAN LIVEDOM & FERGUSON
8180 GREENSBORO DRIVE
SUITE 800
MCLEAN VA 22102

NOT ASSIGNED

2811

DATE MAILED:

02/01/99

NOTICE TO FILE MISSING PARTS OF APPLICATION
Filing Date Granted

An Application Number and Filing Date have been assigned to this application. The items indicated below, however, are missing. Applicant is given TWO MONTHS FROM THE DATE OF THIS NOTICE within which to file all required items and pay fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a). If any of items 1 or 3 through 5 are indicated as missing, the SURCHARGE set forth in 37 CFR 1.16(e) of ☐ \$65.00 for a small entity in compliance with 37 CFR 1.27, or ☒ \$130.00 for a non-small entity, must also be timely submitted in reply to this NOTICE to avoid abandonment.

If all required items on this form are filed within the period set above, the total amount owed by applicant as a
☐ small entity (statement filed) ☒ non-small entity is \$ 1282.00

- ☒ 1. The statutory basic filing fee is:
☐ missing.
☒ insufficient.

Applicant must submit \$ 760.00 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).

- ☒ 2. Additional claim fees of \$ 388.00, including any multiple dependent claim fees, are required.

\$ 28 for 1 independent claims over 3.

\$ 54 for 3 dependent claims over 20.

\$ 200.00 for multiple dependent claim surcharge.

Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

- ☒ 3. The oath or declaration:

- ☐ is missing or unexecuted
☒ does not cover the newly submitted items.
☐ does not identify the application to which it applies.
☐ does not include the city and state or foreign country of applicant's residence.

An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date, is required.

- ☐ 4. The signature(s) to the oath or declaration is/are by a person other than inventor or person qualified under 37 CFR 1.42, 1.43 or 1.47.

A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

- ☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

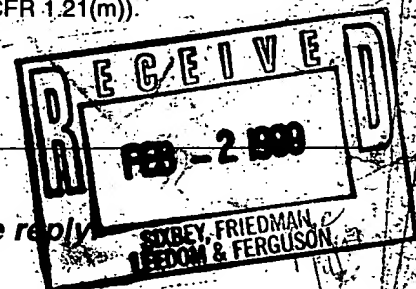
An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

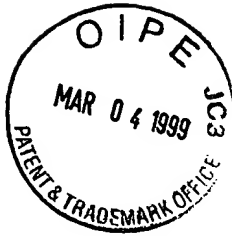
- ☐ 6. A \$50.00 processing fee is required since your check was returned without payment (37 CFR 1.21(m)).
☐ 7. Your filing receipt was mailed in error because your check was returned without payment.
☐ 8. The application does not comply with the Sequence Rules.
See attached "Notice to Comply with Sequence Rules 37 CFR 1.821-1.825."
☐ 9. OTHER:

Direct the reply and any questions about this notice to "Attention: Box Missing Parts."

A copy of this notice **MUST** be returned with the reply.

Customer Service Center
Initial Patent Examination Division (703) 308-1202





- 1 -

Docket: 0756-1921

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as First Class Mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on 3-2-99

Carol M. Dickel

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re PATENT Application of:)
Hisashi OHTANI et al.)
Serial No. 09/226,216)
Filed: January 7, 1999)
For: SEMICONDUCTOR DEVICE)
AND METHOD OF)
MANUFACTURING THE)
SAME)

Attention: Application Processing Division

REQUEST FOR CORRECTED FILING RECEIPT


Honorable Assistant Commissioner
of Patents and Trademarks
Washington, D.C. 20231
Sir:

Attached is a copy of the Official Filing Receipt received from the U.S. Patent & Trademark Office in the above-referenced application which Filing Receipt contained several errors. The first error is in the "Continuing Data." It is noted that Japanese Priority Application No. 10-018096, filed January 12, 1998 is not listed on the Official Filing Receipt.

Second, missing from the Official Filing Receipt is the name of the second inventor, **SHUNPEI YAMAZAKI**.

In view of the above, it is therefore requested that a Corrected Filing Receipt be issued.

Respectfully submitted,



Eric J. Robinson
Reg. No. 38,285

Sixbey, Friedman, Leedom & Ferguson, P.C.
8180 Greensboro Drive, Suite 800
McLean, Virginia 22102
(703) 790-9110

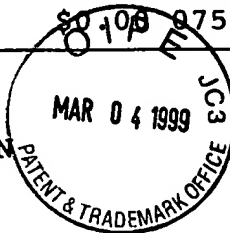
FILING RECEIPT



UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTORNEY DOCKET NO.	DRWGS	TOT CL	IND CL
09/226,216	01/07/99	2811	\$0.108	0756-1921	6	15	4

GERALD J FERGUSON JR
SIXBEY FRIEDMAN LEEDOM & FERGUSON
8180 GREENSBORO DRIVE
SUITE 800
MCLEAN VA 22102



Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Application Processing Division's Customer Correction Branch within 10 days of receipt. Please provide a copy of the Filing Receipt with the changes noted thereon.

Applicant(s)

HISASHI OHTANI.

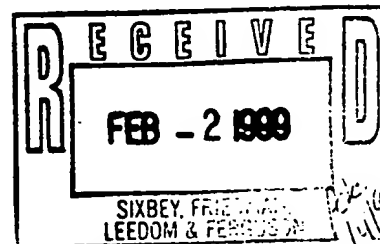
FOREIGN FILING LICENSE GRANTED 01/27/99

TITLE

SEMICONDUCTOR DEVICE METHOD OF MANUFACTURING THE SAME

PRELIMINARY CLASS: 257

DOCKETED
2/3/99 By JB
Sixbey, Friedman,
Leedom & Ferguson



DATA ENTRY BY: CHADWICK, YOLANDA

TEAM: 04 DATE: 01/27/99